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ABSTRACT

The California State Board of Education guidelines for school districts in developing procedures for evaluating certificated personnel are presented. Following a description of the development of local guidelines, the development of specific evaluation procedures is given--job descriptions-employee classifications, evaluator-evaluatee relationships, and personnel evaluation. Contained in appendices are a summary of the relevant legislation, AB 293, implications of the new employee evaluation requirements, suggested activities for developing an evaluation program, and district costs in implementing the requirements of AB 293. (KM)

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California State Board of Education Guidelines for School Districts to Use in Developing Procedures for Evaluating Certificated Personnel

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CALIFORNIA STATE BOARD OF EDUCATION

California State Department of Education
Wilson Riles, Superintendent of Public Instruction
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Introduction to the State Board's Guidelines

On July 20, 1971, the Governor approved Assembly Bill 293, often referred to as the "Stull Bill." The bill, which was introduced in the 1971 session of the Legislature by Assemblymen John Stull and Leo J. Ryan, affects those laws relating to the dismissal of permanent certificated employees and the evaluation of all certificated employees.[1]

One of the Education Code sections that was added as a result of the passage of AB 293 requires each school district to develop and adopt specific guidelines for evaluating the performance of certificated personnel (Education Code Section 13487). By passing this bill, it is the intent of the Legislature to have established within each school district of the state "a uniform system of evaluation and assessment of the performance of certificated personnel." The Education Code sections requiring the development and adoption of evaluation guidelines are effective as of March 4, 1972. Therefore, it is assumed that school districts will be developing such guidelines in the spring and summer of 1972.

In addition to passing AB 293, the Legislature passed a companion bill, AB 2999, which the Governor signed on October 21, 1971. This bill, which was introduced by Assemblyman Newton R. Russell, has become Education Code Section 161. This new law directs the State Board of Education to develop and disseminate guidelines which school districts *may* use in the development of their certificated personnel evaluation procedures, as required by Education Code Section 13487. To provide such leadership and assistance to school districts, the State Board of Education has had these guidelines and accompanying materials prepared.

[1] As a result of the passage of Assembly Bill 293, Education Code sections 13403, 13404, 13410, 13412, and 13459 have been amended, sections 13485, 13489 have been added to the code, old sections 13413 and 13414 have been repealed and new sections have been added, using those same numbers, and sections 13415, 13438 and 13440 have been repealed.

Purposes of the Guidelines

These state guidelines are offered as a framework that school districts may use in developing certificated personnel evaluation procedures which (1) meet the requirements of the law, (2) establish a uniform system of evaluation and assessment within each district, and (3) reflect the philosophy, characteristics, needs, and goals of the local unit. The philosophy and goals of each school district should be based upon the state frameworks and guidelines for instruction, insofar as they exist.

It is also hoped that these state guidelines will promote the development of local systems of personnel evaluation that will serve to improve the quality of the services provided, individually and collectively, by the employees of the school districts. Personnel evaluation systems should do this by providing for the identification of the following:

- Individuals with outstanding competence and performance so that they may be commended in an appropriate manner and so that they may serve as models to their peers
- Conditions under which individuals serve which handicap the effectiveness of their services so that such conditions may be remedied
- Weaknesses in the performance of individuals so that assistance may be provided which is designed to help such personnel overcome their operational deficiencies and become more effective and efficient
- Personnel whose services are unsatisfactory to such a degree that they should be reassigned or terminated

Definition of Terms

To develop guidelines that are uniform in nature, it is important to use the same definitions for the key words in those guidelines. Therefore, the following definitions have been prepared so that the districts will have a common dictionary of terms:

Area of study. A specific branch of learning at various developmental levels, as designated by the state or school district governing board.

Assessment. The act of determining the degree or amount of, a determination resulting from the evaluation process.

Assessment criteria. Demonstrable levels of performance upon which a judgment or decision may be based.

Certificated employees or personnel.[2] Those employees or personnel of school districts whose positions require credentials or certification qualifications.

Classes of employees. Those groupings of employees whose roles and responsibilities are similar, as defined in job classification descriptions, so that any individual in the class can be expected to perform successfully the responsibilities (duties) of that class.

Evaluatee. One who is evaluated.

Evaluation. The process of making considered judgments concerning the professional accomplishments and competencies of a certificated employee based on a broad knowledge of the area of performance involved, the characteristics of the situation of the individual being evaluated, and the specific standards of performance preestablished for the position.

Evaluator. One who evaluates.

[2] Section 13542 of the Education Code provides that a school district governing board may waive any credential requirements for the chief administrative officer, or superintendent, of the school district it governs.

Goal. A statement of broad direction or intent which is general and timeless and is not concerned with a particular achievement within a specified time period.

Objective. A devised accomplishment that can be verified within a given time and under specifiable conditions which, if attained, advances the system toward a corresponding goal.

Other duties. Those actions, in addition to instructional assignments normally required of a position as assigned and/or described in the position description, that are necessary to enable the class, school, or school district to accomplish its objectives.

Philosophy. A composite statement of the relationship between the individual and society based upon beliefs, concepts, and attitudes from which the goals and objectives of the district are derived.

Proper control. A suitable exercise of influence over an individual or a group in order to facilitate learning opportunities.

Standard. That which is set up and established by authority or mutual acceptance as a basis for the measure of quantity, value, or quality.

Standard of performance. An authoritative or mutually established level of accomplishment.

Suitable learning environment. An adequate or proper set of conditions which facilitate opportunities for learning.

Uniform evaluation system. A system of evaluation that applies the same guidelines in a consistent manner to all employees of each type or class of certificated employees.

State Board of Education Guidelines

The State Board of Education's guidelines, which school districts may use in the development of certificated personnel evaluation procedures, are divided into two parts. The first part contains guidelines for the development of districtwide policies that will lead to the adoption of a uniform system of evaluation and assessment of certificated personnel. The second part provides guidelines for the development of specific evaluation procedures for classifications of certificated personnel.

Development of Local Guidelines

The local guidelines should be based upon an overall operating definition of the school district's educational philosophy and goals so that standards of performance established for specific positions may be developed from a uniform base.

The school district governing board should avail itself of the advice of its certificated instructional personnel as it develops its evaluation guidelines, including both the general provisions and the specific elements.

The final, board-adopted district guidelines should promote a system of evaluation which is uniform for all certificated personnel of the district. It should define, and be applicable to, all the classes (classifications) of certificated personnel in the district. (See the discussion of job descriptions under "Development of Specific Evaluation Procedures," which follows.)

The local guidelines should be clearly and concisely stated, and they should be reasonable and understandable to all to whom they apply: evaluators and evaluatees.

The local guidelines should provide for the periodic evaluation of the certificated personnel evaluation system they establish, and they should provide the mechanisms and procedures necessary for modifying the certificated personnel evaluation system, as suggested by such periodic evaluations.

The local guidelines should be reviewed and endorsed prior to their adoption by the legal counsel of the school district to ensure (1) that they conform to Education Code sections 13485 through 13489; and (2) that they could serve as a legal basis for determining the lack of professional competence of a certificated employee proposed for dismissal. (This recommendation also should be followed in connection with the specific implementation procedures developed by the district administrative staff for the actual conduct of the uniform system of certificated personnel evaluation, as discussed in the material which follows.)

Development of Specific Evaluation Procedures

The specific evaluation procedures of the school district for the evaluation of classifications of certificated personnel also should be developed in consultation with certificated employee group(s) representing the various personnel classification(s) concerned.

Job Descriptions — Employee Classifications

Generalized job descriptions should be formulated for all certificated personnel positions. The district's guidelines must apply uniformly to all certificated positions, but *the job descriptions should provide the basis for the application of differing standards or expected levels of performance to, and/or within,* different "classes" of certificated employees. Job descriptions prepared for noninstructional certificated personnel should include, insofar as possible, how and in what areas their services should influence pupil progress, so that the standards of performance established for these positions may reflect such responsibilities.[1] Job descriptions also should specify, when appli-

[1] For example, the job description for a "curriculum consultant" may specify that he/she is to help improve instructional programs within a given subject matter, grade level, and/or geographic area. The standards of performance established for that position, then, might include consideration of whether pupils have maintained or improved their progress in the area of the assigned responsibility during the tenure of the employee. These standards should be flexible enough to consider variables and constraints related to the instructional materials available, the characteristics of the pupil population served, and other features of the educational environment.

cable, the responsibilities of the incumbents for evaluating other certificated personnel.

Some examples of certificated employee classifications follow. This list presents some of the possibilities available, but it is neither comprehensive nor exclusive:

1. Preschool-kindergarten teacher
2. Primary teacher
3. Intermediate grade teacher
4. Junior high school teacher
5. Senior high school teacher
6. Secondary science teacher
7. Special education teacher – orthopedically handicapped
8. Elementary music teacher
9. Counselor
10. Principal, secondary school
11. Curriculum consultant
12. Nurse
13. Children's Center teacher
14. Psychologist
15. Research personnel
16. Assistant superintendent, instruction
17. Assistant superintendent, administrative services
18. Deputy or associate superintendent
19. Superintendent[2]

Classification groupings of certificated personnel should be defined so as to group personnel with like or similar roles and responsibilities. Such groupings should encompass all the certificated personnel in the district. (See examples of job classifications listed in the preceding paragraph.)

Evaluator Evaluatee Relationships

The evaluator-evaluatee relationships necessary to the evaluation system should be defined precisely. Who evaluates whom for what?

Procedures should be established for the evaluator to follow in determining the specific standards of performance, evaluation criteria, and facilitating support requirements to be provided by the evaluator.

The specific standards of performance and concomitant assessment criteria developed for each certificated employee should be compatible with the district's curricular goals and objectives, and they should be concerned with each of the following:

1. Standards of expected pupil progress related to the academic level(s) and subject matter area(s), as appropriate to the employee's assignment and responsibilities. (Nothing in these guidelines should be construed to suggest that the evaluation of certificated personnel is to be based solely or primarily on the results of standardized tests of pupil ability or achievement.)
2. Other noninstructional duties normally required to be performed by such certificated personnel.
3. The maintenance of proper control and the maintenance and improvement of a suitable learning environment.

The following should be provided for in the plans for monitoring, in an ongoing manner, the performance status of the evaluatee:

1. An established minimum number of observations by the evaluator of the evaluatee in work situations. The evaluator may use a variety of observation techniques. These observations and techniques should be of sufficient duration and quality to make significant contributions to the process of personnel evaluation. The observations should be followed by conferences during which commendations and recommendations are presented to the evaluatee; these commendations and recommendations should be documented.
2. Meeting the notification requirements of Education Code Section 13407 regarding the pending dismissal of a certificated employee, which must be accomplished 90 days prior to the filing of a dismissal charge, in order to provide ample opportunity for the certificated employee to correct his/her deficiencies. The final evaluation report, if unsatisfactory and recommending dismissal, should not be confused with the formal "dismissal notice," which must be initiated and served, as provided in Education Code sections 13404 and 13405.

Procedures should be established for the evaluatee to follow should he/she take exception to the specific standards of performance, evaluation criteria, facilitating support requirements provided by the evaluator, and/or ongoing plans for monitoring his/her performance status; the procedures should ensure that the evaluatee has an opportunity to request a review of the evaluation plans by some other person(s). (The local guidelines also

[2]Section 13342 of the Education Code provides that a school district governing board may waive any credential requirements for the chief administrative officer, or superintendent, of the school district it governs.

should designate the person or persons responsible for resolving differences of opinion regarding these matters.)

Personnel Evaluation -

District provisions for the formal certificated personnel evaluation reports should be established which satisfy the intent and letter of the requirements in sections 13488 and 13489 of the Education Code. Specifically, these procedures should ensure that the following are done:

1. The evaluatee is provided, in writing, a copy of the formal evaluation report not later than 60 days before the end of the school year during which the evaluation takes place. If the evaluatee is performing in an effective or commendable fashion, the report should so indicate. If the evaluatee is not performing his/her duties in a satisfactory manner according to the standards of performance initially established, the report should describe the areas of needed improvement, recommend how improvement can be effected, and identify procedures to be followed by the evaluator and evaluatee to facilitate such an improvement.
2. A follow-up meeting of the evaluator and the evaluatee is held to discuss the evaluation report for the purpose of identifying strengths and/or weaknesses in the employee's performance, with commendations, recommendations, and/or assistance for his/her improvement, as warranted.
3. The evaluatee is provided with procedures to follow in order to initiate a written response or reaction to the evaluation.

The evaluation procedures should provide for the evaluation of all certificated personnel of the district on a continuing basis — a minimum of once each school year for probationary personnel and at least every other year for personnel with permanent status.

APPENDIX A

A Summary of AB 293

Effective date is identified. The portion of Assembly Bill 293 which adds sections 13485 13489 to the Education Code becomes effective on March 4, 1972. This has been interpreted to mean that districts must begin to develop evaluation guidelines and systems in conformance with the requirements of AB 293 so that the guidelines may be adopted by school district governing boards in time to be implemented during the 1972 73 school year.

School board must adopt written guidelines. Each school district governing board must adopt a uniform set of written evaluation guidelines for use in evaluating the professional competencies of its certificated personnel.

School board must seek advice. In developing and adopting written evaluation guidelines, a school board must avail itself of advice from its certificated instructional personnel in the district's organization of certificated personnel.

School board's written guidelines must contain certain provisions. The written evaluation guidelines for certificated employees adopted by each school board must at least provide for the following:

1. Establishment of standards of expected student progress in each area of study and of techniques for assessment of that progress.
2. Assessment of certificated personnel competence as it relates to the standards which are established for individual certificated personnel.
3. Assessment of other duties normally required to be performed by certificated employees as adjunct to their regular assignments.
4. Establishment of procedures and techniques for ascertaining that the certificated employee is maintaining proper control and is preserving a suitable learning environment.

Employees must be informed regarding the school board's written guidelines. A school board should inform each certificated employee about the district's evaluation program in advance of its implementation. Thereafter, new certificated employees should be informed about the personnel evaluation program as part of the orientation to the district. If practical, employees should be provided copies of the local guidelines and procedures, or copies should be made available at each school or unit site.

Evaluations must be made in writing. Evaluations must be in writing and transmitted to the certificated employee not later than 60 days prior to the end of the school year in which the evaluation takes place. Following this and before the end of the school year, the evaluator shall discuss the evaluation report with the evaluatee.

Follow-up counseling for deficient certificated employee is required. Each school board must provide for follow-up counseling of a certificated employee whose professional competency, as judged under the school board's written evaluation guidelines, is not up to standard, and the governing board must provide assistance for such employee to upgrade his performance.

Certificated employee evaluated has right to respond. Certificated employees evaluated must be given opportunities to append written statements of their views to their evaluation reports, and such statements shall be permanent parts of their personnel files.

APPENDIX B

Implications of the New Employee Evaluation Requirements

The certificated personnel evaluation requirements in Assembly Bill 293 will have profound, immediate, and long-range significance to California public education. Some of the significant effects are outlined here:

- It represents an approach to personnel evaluation by the Legislature which requires that certificated personnel performance standards be developed in each school district on the basis of a uniform set of specific and definitive guidelines.
- Its effective implementation, with its express commitment for follow-up counseling of instructional personnel, could serve to improve the education profession by upgrading instructional competencies or result in the dismissal or reassignment of certificated employees who do not meet the standards established for their respective assignments.
- Its requirement for involving instructional personnel in the development of the actual standards for professional evaluation should promote better understanding and enforcement of the adopted standards.
- It requires the local school district to have an overall operating definition of its educational philosophy and goals, so that standards of performance established for individual certificated personnel may be developed from a uniform base which is commonly understood and accepted. School districts may find it necessary to review and update the existing statements of their institutional philosophy and goals so that they will better serve this need. Such review and revision, if necessary, may be of a tentative nature until a more deliberate and refined effort is feasible in order to facilitate the implementation of the new certificated personnel evaluation procedures required by AB 293.
- It establishes requirements for the *regular* evaluation on a scheduled basis of all certificated personnel, teaching and nonteaching personnel as well as probationary and regular personnel.[1]
- It is imperative that, throughout the development of the processes to implement this bill, school personnel strive to retain and improve the close human understanding of sensitivity to children that is the essence of good teaching and school administration.

[1] It is entirely possible that, if the new certificated personnel requirements of AB 293 are not implemented adequately at the local level, a district may not be able to invoke the provisions of the same bill dealing with the dismissal of certificated personnel for reasons of "incompetency."

APPENDIX C

Suggested Activities for Developing an Evaluation Program

A suggested sequence of activities for developing a uniform certificated personnel evaluation program follows:

1. Become familiar with those Education Code sections affected by the passage of Assembly Bill 293. (See footnote 1 on page 1 of this document.)
2. Become familiar with the guidelines adopted by the State Board of Education, which appear earlier in this document.
3. Organize a small team to work on the project to develop the district's uniform certificated personnel evaluation system, and/or assign personnel to this task, as appropriate.
4. Organize an advisory group or involve an existing advisory group of certificated personnel to assist the team. This advisory group should be composed primarily of instructional personnel and be representative of the various certificated employee classifications.
5. Review and revise, as necessary, the local district's statement of its educational philosophy and goals, as time constraints allow.
6. Develop local guidelines, which should include the following:
   a. A statement of the district's educational philosophy and goals which is compatible with state instructional frameworks and guidelines, insofar as they exist
   b. Job descriptions for all certificated personnel positions
   c. The classification of all certificated positions into groupings of personnel with similar roles and responsibilities
   d. Precise definitions of the evaluator-evaluatee relationships in terms of job titles (Who evaluates whom for what?)
   e. General provisions and procedures to be followed in the personnel evaluation process which will be applicable to all certificated positions
   f. Procedures to be followed by a certificated employee in requesting a review by others of: (1) the initial plans for their evaluations; and/or (2) their evaluation reports
   g. All important tasks to be accomplished, and deadlines to be met in the evaluation of individual personnel, including the time schedules for evaluating all certificated personnel with permanent and probationary status
7. Review the local guidelines with the district's legal adviser, and modify the guidelines as necessary.
8. Present local guidelines to the school district governing board for adoption.
9. Develop specific evaluation procedures applicable to each classification of certificated personnel (in consultation with representatives from these respective employee classifications). The procedures should include the following:
   a. Operational details to implement the general guidelines (of item number 6 in the preceding column)
   b. The procedures to be followed by the evaluator in:
      (1) Taking into consideration the needs of pupils, the current policies of the district, the availability of approved instructional facilities and materials, the community environment, and the evaluatee's experience and background
      (2) Establishing with the evaluatee the specific plan for his evaluation program. These should include specific

performance standards and concomitant assessment criteria in terms of pupil progress, other duties, and pupil and environmental control that is applicable to the assignment of the employee.

(3) Monitoring regularly the performance of the employee.

(4) Counseling with the employee during the evaluation period, utilizing various communication techniques with the employee concerning his/her performance during the evaluation period.

(5) Reporting the evaluation findings in consultation and in writing to the employee and others, as may be required, so as to: (a) commend outstanding performance, as may be advisable; (b) assist a satisfactory employee to improve, as may be necessary; (c) identify deficiencies and provide assistance to an employee who is performing in an unsatisfactory manner; and (d) notify an employee whose performance remains unsatisfactory for his/her pending reassignment or dismissal in order to meet all legal requirements.

c. Any forms or reporting materials which may be needed to facilitate and document the evaluation process.

10. Review the specific evaluation procedures with the district's legal adviser, and modify the procedures as necessary.
11. Present the specific evaluation procedures for classifications of certificated personnel to the school district governing board for approval.
12. Inform all certificated personnel of the district's uniform guidelines and of the specific evaluation procedures which will be applicable to their respective positions. If practical, employees should be provided copies of the local guidelines and procedures.
13. Conduct inservice training programs for those who will be responsible for the evaluation of certificated personnel to prepare them for the program.
14. Conduct inservice training programs for those who will be evaluated to promote their understanding of their roles and responsibilities in the evaluation process.
15. If time constraints permit, have evaluators for each classification of personnel field test the evaluation guidelines, procedures, and instruments by working with a sample of his/her evaluatees to prepare evaluation plans.
16. Opportunity should be provided for participants in the program to submit suggestions on a continuous basis so that the evaluation system may be constantly refined and improved as it is implemented and maintained.

APPENDIX D

District Costs in Implementing the Requirements of AB 293

There is considerable concern that the requirements of Assembly Bill 293 will have a significant financial impact on school districts. The legislation envisions a new, more comprehensive and personalized system of evaluation for certificated personnel, which will probably differ markedly from current practices. Consequently, it will require (1) a developmental effort, utilizing broad employee involvement concerning the general district guidelines and the specific evaluation procedures for the various employee classifications, and (2) new operational accommodations to implement and maintain effectively the evaluation system so that it will make positive contributions for the continuous improvement of educational programs provided pupils. Thus, it may entail new or unanticipated costs on both an immediate and a long term basis.

If this legislation should involve substantial new costs to school districts, the California State Board of Education wants to be able to provide the Legislature with this information in order to promote the concept that future legislation should consider and provide for the financial implications that Assembly Bill 293 and other legislative enactments may entail.

For this reason, then, it is requested that each district maintain, as best it can, an accounting of the personnel man-hours and other costs involved in developing, implementing, and maintaining the uniform certificated personnel evaluation system required by Education Code sections 13485 through 13489. The accounting of man-hours should include developmental time at the district level, which may involve teams of certificated personnel, as well as central office administrative time; and the accounting should include time spent at the individual building level by all classes of certificated personnel in conferring about evaluation processes and developing specific performance standards. The State Board of Education, through the State Department of Education, will request this information at the end of the 1971-72 school year, which it will present to the Legislature.

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